

1 **IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

2 Serial No.10/729,823
3 Filing Date 12/5/2003
4 Confirmation No. 8539
5 Inventorship Steven Townsend
6 Applicant Microsoft Corporation
7 Group Art Unit 2131
8 Examiner
9 Attorney's Docket No. MS1-1878US
10 Title: Security-Related Programming Interface

11 **INFORMATION DISCLOSURE STATEMENT**

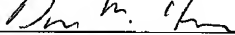
12 *References -- See Attached Form PTO-1449*

13 **REMARKS**

14 The citations listed are submitted in compliance with the duty of disclosure
15 defined in 37 CFR §1.56. The Examiner is requested to make these citations of
16 official record in this application.

17 Respectfully Submitted,

18 Date: 12-29-2006

19 By: 
20 David M. Huntley
21 Reg. No. 40309

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it contains a valid OMB control number.

**INFORMATION DISCLOSURE
STATEMENT BY APPLICANT**
(Not for submission under 37 CFR 1.99)

Application Number	10729823
Filing Date	2003-12-05
First Named Inventor	Steven Townsend
Art Unit	2131
Examiner Name	
Attorney Docket Number	MS1-1878US

U.S. PATENTS

Examiner Initial*	Cite No	Patent Number	Kind Code ¹	Issue Date	Name of Patentee or Applicant of cited Document	Pages, Columns, Lines where Relevant Passages or Relevant Figures Appear
	1	4104721		1978-08-01	Markstein, et al.	
	2	6006328	A	1999-12-21	Drake	
	3	6119236	A	2000-09-12	Shipley	
	4	6173404	B1	2001-01-09	Colburn, et al.	
	5	6301668	B1	2001-10-09	Gleichauf, et al.	
	6	6408391	B1	2002-06-18	Huff, et al.	
	7	6513721		2003-02-04	Salmre, et al.	
	8	6530024	B1	2003-03-04	Proctor	

**INFORMATION DISCLOSURE
STATEMENT BY APPLICANT**
(Not for submission under 37 CFR 1.99)

Application Number	10729823
Filing Date	2003-12-05
First Named Inventor	Steven Townsend
Art Unit	2131
Examiner Name	
Attorney Docket Number	MS1-1878US

9	6910135	B1	2005-06-21	Grainger	
10	7010807	B1	2006-03-07	Yanovsky	

If you wish to add additional U.S. Patent citation information please click the Add button.

U.S.PATENT APPLICATION PUBLICATIONS

Examiner Initial*	Cite No	Publication Number	Kind Code ¹	Publication Date	Name of Patentee or Applicant of cited Document	Pages, Columns, Lines where Relevant Passages or Relevant Figures Appear
	1	20030204632	A1	2003-10-30	Willebeek-LeMair, et al.	
	2	20040015719	A1	2004-01-22	Lee, et al.	
	3	20040064731	A1	2004-04-01	Nguyen, et al.	
	4	20040260945	A1	2004-12-23	Raikar, et al.	
	5	20050125694	A1	2005-06-09	Fakes, et al.	
	6	20060021002	A1	2006-01-26	Townsend, et al.	

If you wish to add additional U.S. Published Application citation information please click the Add button.

FOREIGN PATENT DOCUMENTS

**INFORMATION DISCLOSURE
STATEMENT BY APPLICANT**
(Not for submission under 37 CFR 1.99)

Application Number	10729823
Filing Date	2003-12-05
First Named Inventor	Steven Townsend
Art Unit	2131
Examiner Name	
Attorney Docket Number	MS1-1878US

Examiner Initial*	Cite No	Foreign Document Number ³	Country Code ² j	Kind Code ⁴	Publication Date	Name of Patentee or Applicant of cited Document	Pages, Columns, Lines where Relevant Passages or Relevant Figures Appear	T ⁵
	1							<input type="checkbox"/>

If you wish to add additional Foreign Patent Document citation information please click the Add button

NON-PATENT LITERATURE DOCUMENTS

Examiner Initials*	Cite No	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc), date, pages(s), volume-issue number(s), publisher, city and/or country where published.	T ⁵
	1	Balasubramaniam, et al., "An Architecture for Intrusion Detection using Autonomous Agents," 14th IEEE Computer Security Applications Conference, December 1998, 12 pages.	<input type="checkbox"/>
	2	Caldwell, "The Importance of Event Correlation for Effective Security Management," Information Systems Control Journal, Vol. 6, 2002, pp. 36-38.	<input type="checkbox"/>
	3	Krugel, et al., "Decentralized Event Correlation for Intrusion Detection," ICICS 2001, Vol. 2288, Dec. 6-7, 2001, pp. 114-131.	<input type="checkbox"/>
	4	Montesi, "A Transaction Transformation Approach to Active Rule Processing," Proceedings of the Eleventh International Conference on Data Engineering, 1995, pp. 109-116.	<input type="checkbox"/>
	5	Montesi, "Analysis and Optimization of Active Databases," Data & Knowledge Engineering, Vol. 40, No. 3, March 2002, pp. 241-271.	<input type="checkbox"/>
	6	Park, et al., "Mini-Savepoints: Firewall for Atomic Updates," Database Systems for Advanced Applications '97, Proceedings of the Fifth International Conference, April 1-4, 1997, pp. 293-302.	<input type="checkbox"/>

If you wish to add additional non-patent literature document citation information please click the Add button

**INFORMATION DISCLOSURE
STATEMENT BY APPLICANT**

(Not for submission under 37 CFR 1.99)

Application Number	10729823
Filing Date	2003-12-05
First Named Inventor	Steven Townsend
Art Unit	2131
Examiner Name	
Attorney Docket Number	MS1-1878US

EXAMINER SIGNATURE

Examiner Signature		Date Considered	
--------------------	--	-----------------	--

*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through a citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

¹ See Kind Codes of USPTO Patent Documents at www.USPTO.GOV or MPEP 901.04. ² Enter office that issued the document, by the two-letter code (WIPO Standard ST.3). ³ For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. ⁴ Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST.16 if possible. ⁵ Applicant is to place a check mark here if English language translation is attached.

**INFORMATION DISCLOSURE
STATEMENT BY APPLICANT**
(Not for submission under 37 CFR 1.99)

Application Number	10729823
Filing Date	2003-12-05
First Named Inventor	Steven Townsend
Art Unit	2131
Examiner Name	
Attorney Docket Number	MS1-1878US

CERTIFICATION STATEMENT

Please see 37 CFR 1.97 and 1.98 to make the appropriate selection(s):

☐ That each item of information contained in the information disclosure statement was first cited in any communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of the information disclosure statement. See 37 CFR 1.97(e)(1).

OR

☐ That no item of information contained in the information disclosure statement was cited in a communication from a foreign patent office in a counterpart foreign application, and, to the knowledge of the person signing the certification after making reasonable inquiry, no item of information contained in the information disclosure statement was known to any individual designated in 37 CFR 1.56(c) more than three months prior to the filing of the information disclosure statement. See 37 CFR 1.97(e)(2).

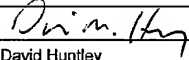
☐ See attached certification statement.

☐ Fee set forth in 37 CFR 1.17 (p) has been submitted herewith.

☒ None

SIGNATURE

A signature of the applicant or representative is required in accordance with CFR 1.33, 10.18. Please see CFR 1.4(d) for the form of the signature.

Signature		Date (YYYY-MM-DD)	12-29-2006
Name/Print	David Huntley	Registration Number	40309

This collection of information is required by 37 CFR 1.97 and 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 1 hour to complete, including gathering, preparing and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. **DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.**